

2823

PATENT

7/I.D.S.

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date set forth below as First Class Mail in an envelope addressed to:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Date of Signature and Deposit: April 22, 2003

Adam J. Forman
Adam J. Forman

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5/8/03

Smith

Applicant(s): Mark A. Lucak, *et al.*
Serial No.: 09/843,563
Filed: April 26, 2001
For: Method for Fabricating a Microelectromechanical System (MEMS) Device
Using a Pre-Patterned Substrate
Grp. Art Unit: 2823
Examiner: William D. Coleman
Docket No.: 110003.97427

INFORMATION DISCLOSURE STATEMENT

- ☒ (1) Pursuant to 37 CFR 1.97(b)
(within 3 months of filing or prior to mailing of 1st Office Action)
- ☐ (2) Certification Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ (3) Fee Payment Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ (4) Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d) (before issue fee payment)

RECEIVED
APR 29 2003
TECHNOLOGY CENTER 2800

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

- ☒ (5) A list of documents on Form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☒ (6) 37 CFR 1.97(b) (within 3 months of filing or prior to 1st Office Action)
- ☐ (7) 37 CFR 1.97(c) (before Final Office Action or Allowance, whichever is earlier); and

- ☐ (8) The required certification made in item 11 below; or
- ☐ (9) The \$180.00 fee specified in 36 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ (10) 37 CFR 1.97(d) (before issue fee payment); and
 - [a] (This is a petition for consideration of the subject Information Disclosure Statement. The petition fee \$_____.00 required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g. "Allowed Files, Batch _____, Date of Allowance _____"), and
 - [b] The required Certification is stated in item 11 below.
- ☐ (11) Certification
 - ☐ (12) Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
 - ☐ (13) No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☒ (14) Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 17-0055.

Respectfully submitted,

Mark A. Lucak, *et al.*

By: Adam J. Forman
Adam J. Forman
Reg. No. 46,707
Attorney for Applicant
Quarles & Brady LLP
411 East Wisconsin Avenue, 20th Floor
Milwaukee, WI 53202-4497
(414) 277-5405



Please type a plus sign (+) inside this box → ☐

PTO/SB/08A (08-00)
Approved for use through 10/31/2002.
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	09/843,563
		Filing Date	April 26, 2001
		First Named Inventor	Mark A. Lucak
		Group Art Unit	2823
		Examiner Name	William D. Coleman
Sheet 1	of 4	Attorney Docket Number	110003.97427

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		3,886,447		Tanaka	05-27-1975	
		4,560,953		Bozio	12-24-1985	
		5,012,207		Edwards	4-30-1991	
		5,025,346		Tang, et al.	06-18-1991	
		5,194,819		Briefer	03-16-1993	
		5,243,861		Kloeck, et al.	09-14-1993	
		5,343,157		Deschamps	08-30-1994	
		5,359,893		Dunn	11-01-1994	
		5,413,668		Aslam, et al.	05-09-1995	
		5,417,312		Tsuchitani, et al.	05-23-1995	
		5,424,650		Frick	06-13-1995	
		5,536,988		Zhang, et al.	07-16-1996	
		5,572,057		Yamamoto, et al.	11-05-1996	
		5,585,311		Ko	12-17-1996	
		5,600,190		Zettler	02-04-1997	
		5,646,432		Iwaki, et al.	07-08-1997	
		5,658,698		Yagi, et al.	08-19-1997	
		5,798,283		Montague, et al.	08-25-1998	
		5,815,051		Hamasaki, et al.	09-29-1998	
		5,877,038		Coldren, et al.	03-02-1999	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

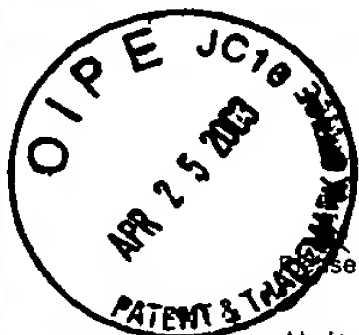
Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Doc. No. 5356737



Please type a plus sign (+) inside this box → ☐

PTO/SB/08A (08-00)
Approved for use through 10/31/2002.
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/843,563
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	April 26, 2001
		First Named Inventor	Mark A. Lucak
		Group Art Unit	2823
		Examiner Name	William D. Coleman
		Attorney Docket Number	110003.97427
Sheet	2	of	4

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		5,920,978		Koshikawa, et al.	07-13-1999	
		5,959,516		Chang, et al.	09-28-1999	
		6,060,336		Wan	05-09-2000	
		6,094,102		Chang, et al.	07-25-2000	
		6,116,756		Peeters, et al.	09-12-2000	
		6,144,545		Lee, et al.	11-07-2000	
		6,170,332		MacDonald, et al.	01-09-2001	
		6,232,150		Lin, et al.	05-15-2001	
		6,257,705		Silverbrook	07-10-2001	
		6,265,238		Yaji, et al.	07-24-2001	
		6,307,169		Sun, et al.	10-23-2001	
		6,316,278		Jacobsen, et al.	11-13-2001	
		6,356,378		Huibers	03-12-2002	
		6,356,689		Greywall	03-12-2002	
		6,373,682		Goodwin-Johansson	04-16-2002	
		6,384,353		Huang, et al.	05-07-2002	
		6,391,742		Kawai	05-21-2002	
		6,400,009		Bishop, et al.	06-04-2002	
		5,563,343		Shaw, et al.	10-08-1996	
		5,491,604		Nguyen, et al.	02-13-1996	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

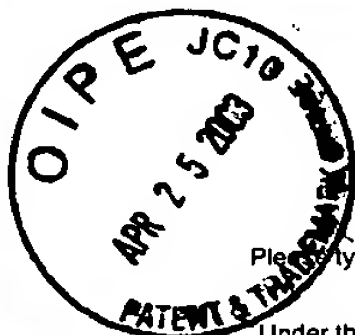
Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Doc. No. 5356737



Please type a plus sign (+) inside this box → ☐

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/843,563
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	April 26, 2001
		First Named Inventor	Mark A. Lucak
		Group Art Unit	2823
		Examiner Name	William D. Coleman
		Attorney Docket Number	110003.97427
Sheet	3	of	4

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		5,834,864		Hesterman, et al.	11-10-1998	
		5,955,932		Nguyen, et al.	09-21-1999	
		6,127,767		Lee, et al.	10-03-2000	
		6,149,190		Galvin, et al.	11-21-2000	
		6,188,322		Yao, et al.	02-13-2001	
		6,236,281		Nguyen, et al.	05-22-2001	
		6,348,788		Yao, et al.	02-19-2002	
		6,411,214		Yao, et al.	06-25-2002	
		6,417,743		Mihailovich, et al.	07-09-2002	
		6,463,339		Vasko	10-08-2002	
		6,465,929		Levitan, et al.	10-15-2002	
		6,466,005		Yao, et al.	10-15-2002	
		6,497,141		Turner, et al.	12-24-2002	
		6,504,356		Yao, et al.	01-07-2003	
		5,943,155		Goossen	08-24-1999	
		5,995,688		Aksyuk, et al.	11-30-1999	
		2002/0017132		McNie, et al.	02-14-2002	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
		EP	0 763 844	A1	Canon KK	03-19-1997		
		EP	0 665 590	A2	Canon KK	08-02-1995		
		EP	0 711 029	A2	Canon KK	05-08-1996		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Doc. No. 5356737

